



GOVERNMENT OFFICE
FOR THE NORTH WEST



RISK FORM User Manual (final)

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PRODUCED BY

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1 Introduction

This document is the final User Manual for the Risk Form, a web-based system to be launched shortly by GONW for use on their European Objective 2 Programme.

The Risk Form aims to capture information about the likely variability of future claims around the forecasts that are already being supplied in the Interactive Claim Form. This information:

- will be input by projects and then reviewed by APs before submission to EPS
- should be based on project risk assessments
- is crucial to provide clear and early notice of the likelihood of avoiding decommitment in 2003 and future years, and hence to flag up to APs and EPS where mitigating action is required.

Risk analyses will be undertaken on the basis of information input to the Risk Form, and, in turn, management reports issued to APs. It is hoped that this will provide good quality forward looking information to help inform management decisions at project, AP and programme level by AP and EPS staff respectively. Further information on the philosophy behind the Risk Form and supporting risk management approach can be found in the notes of the 24 and 25 February risk management training sessions with APs. These notes were issued to all APs.

The Risk Form has been developed by Scott Wilson in consultation with staff from GONW's European Programme Secretariat (EPS), and with representatives from Action Plan Partnerships, the latter primarily through the aforementioned 24 and 25 February training sessions.

There are different levels of access and functionality:

- Project staff will be able to see and input data for their own project
- AP managers will be able to see and amend data for all their projects, to add projects and to allocate passwords for their project managers to use.
- Selected EPS staff will be able to see data for all the projects across the programme, to send AP managers reminders to complete their inputs, and to close a month to further input once the deadline for input by APs is reached.

This User Manual aims to:

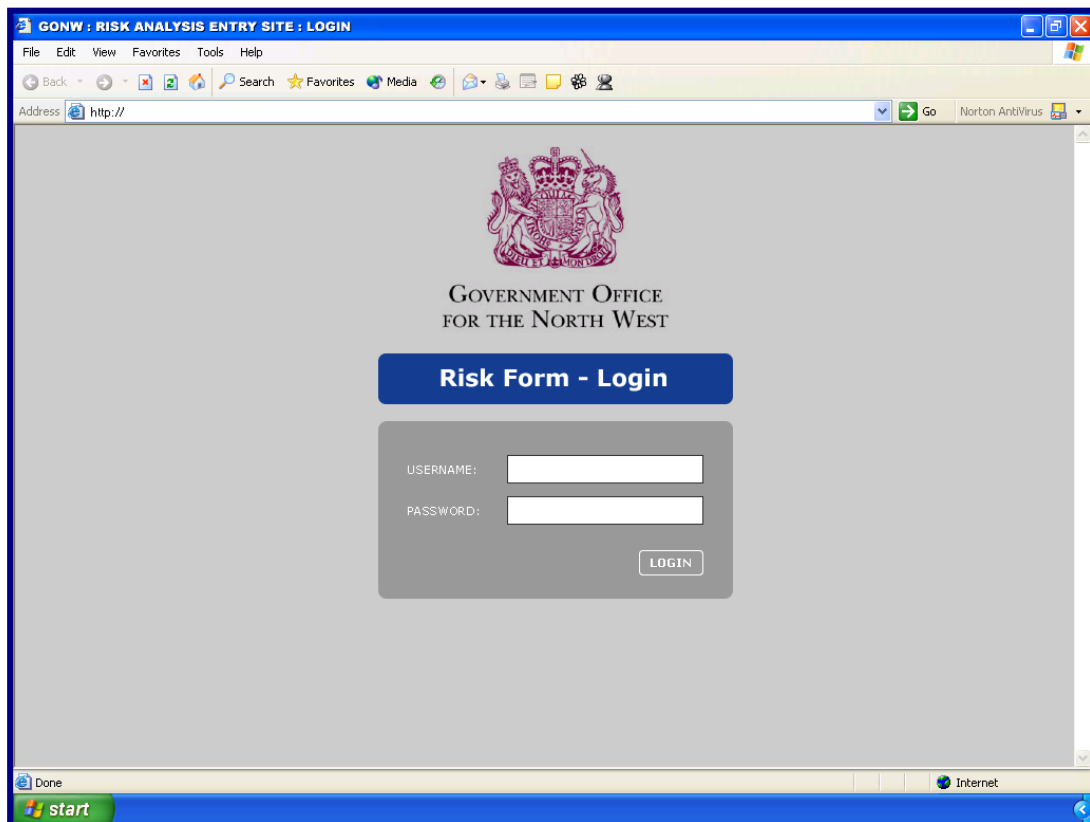
- Explain how to move (navigate) between the different forms of the application (Appendix 1 is a navigation flowchart for the whole application)
- Outline the functionality of the different navigational and functional buttons within the different forms
- Explain what input information is required and provide basic guidance on how it should be arrived at (further details of the latter are provided in the training session notes referred to above).

Sections 2, 3, 4 and 5 of this User Manual describe the 3 main screens (also called 'pages' or 'forms') of this application. Sections 6 and 7 describe the additional functions available to AP managers and EPS users.

2 Login Screen

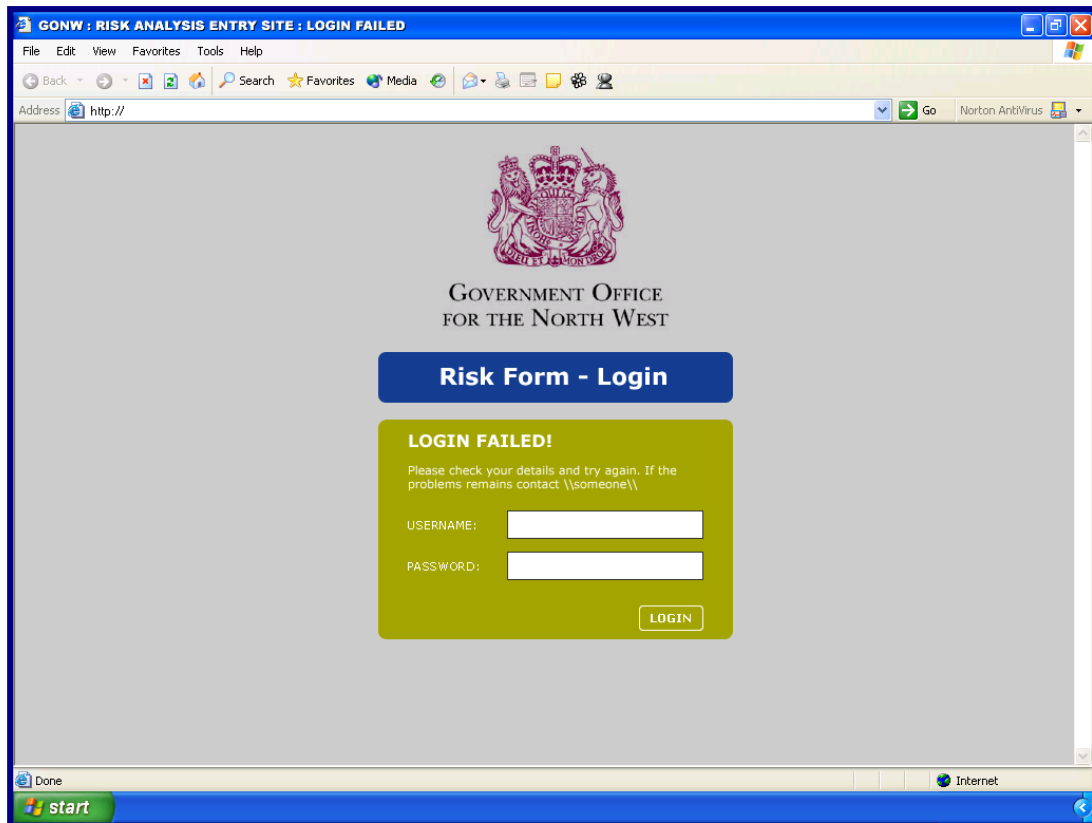
To log onto the application users need to go to the following web address, using any standard web browser: dev.4Wardgroup.com/GONW/login

At the site, the user will be presented with the login screen.



When prompted with this screen, users must enter a valid user name and password, by clicking in the relevant blank box and typing their 'USERNAME' or 'PASSWORD'. Then click on 'LOGIN' to access the application.

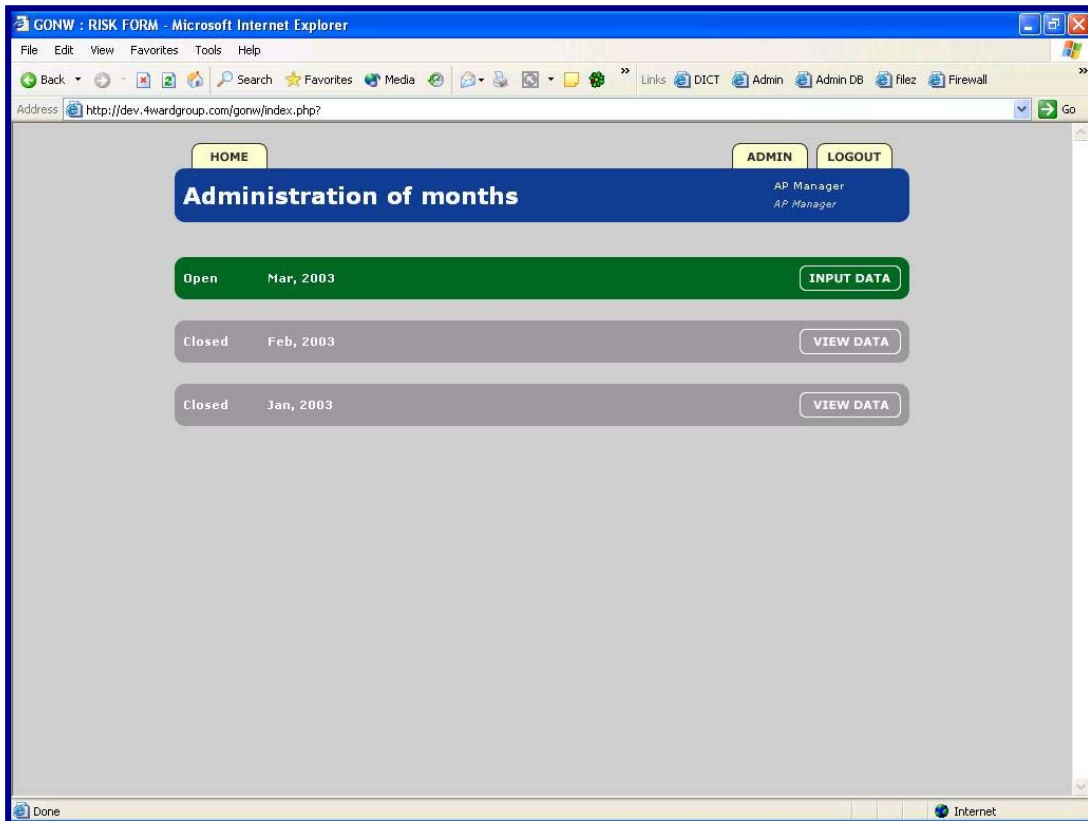
If either the 'USERNAME' or 'PASSWORD' are incorrect you will be presented with the error screen shown below, and should then follow the on-screen instructions.



3 Administration of months

Once you have successfully logged on you will be directed to the home page called 'Administration of Months'. This page has one row per month – the current month (ie that for which data input is required) appears in dark green, while previous months appear in grey.

3.1 General layout



3.2 Navigational buttons

The following navigational buttons are present in this form:

ADMIN: this only appears when logged in as an AP manager. By clicking this button you will be automatically re-directed to the 'Administration of projects and passwords' form.

LOGOUT: by clicking this button you will be automatically logged out and the Login screen will appear.

INPUT DATA: by clicking this button you will be automatically re-directed to the 'List of Risk Forms', where you will be able to select the project for which you want to input data.

VIEW DATA: by clicking this button you will be automatically re-directed to the 'List of Risk Forms', where you will be able to select the project for which you want to view data for a given month; either the current month or a previous month.

FEEDBACK: by clicking this button you will be automatically re-directed to the 'Feedback Form' where you can offer feedback on the Risk Form.

4 List of Risk Forms

For AP and EPS users this form will display:

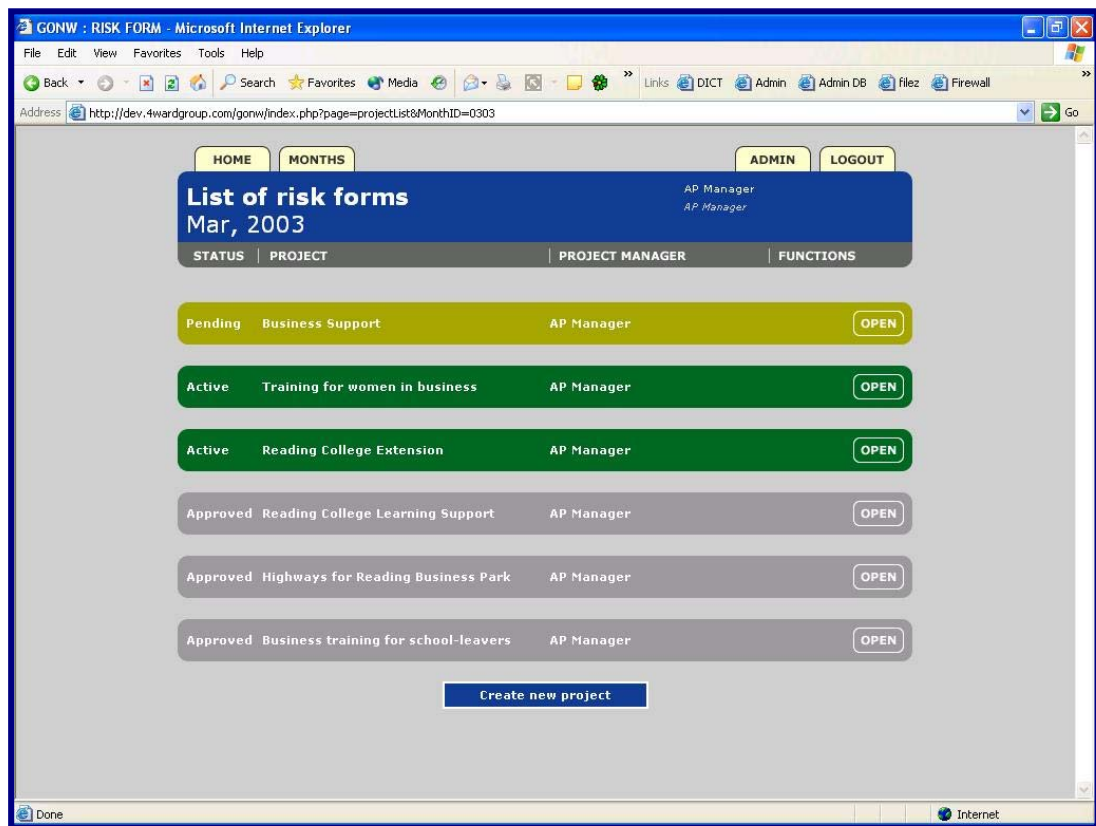
Pending Projects (light green) – no data has been input so far

Active projects (dark green) – some data has been saved but the project has not been closed

Approved projects (grey) – all data has been saved and can be viewed but not changed

The AP manager will see all the projects under his/her responsibility whilst the Project Manager will only see the particular project that he/she is responsible for.

4.1 General layout



4.2 Navigational buttons

HOME: by clicking this button you will be automatically re-directed to the months form i.e. 'Administration of Months'

ADMIN: this only appears when logged in as an AP manager. By clicking this button you will be automatically re-directed to the 'Administration of projects and passwords' form.

LOGOUT: by clicking this button you will be automatically logged out and the Login screen will appear.

OPEN: by clicking this button you will be automatically routed to the 'Project Form', where you can input the relevant data for the required month.

PROJECTS: by clicking this button you will be automatically routed to the 'Project Form' for the required month.

CREATE NEW PROJECT: by clicking this button you will be automatically routed to the 'Create New Project' form.**FEEDBACK:** by clicking this button you will be automatically re-directed to the 'Feedback Form' where you can offer feedback on the Risk Form.

5 Create a New Project

This form can be entered by clicking on the 'Create new project' button at the bottom of the 'List of Risk Forms' screen. The Create New Projects form allows new users to create new projects within the application. Once the new project is created a blank 'Project form' will be created. This facility would typically be used for projects prior to Milestone 2 ie where those yet to be entered to the ICF.

5.1 General layout

The screenshot shows a web browser window titled "GONW : RISK FORM - Microsoft Internet Explorer". The address bar shows a URL from dev.4wardgroup.com. The page has a header with "HOME", "ADMIN", and "LOGOUT" buttons. The main content area is titled "Create a new project" and shows "Mar, 2003". Below this, there are input fields for "Project Name:" and "Priority:". A "CREATE NEW PROJECT" button is located below the "Priority:" field. A "FEEDBACK" link is also visible. Callouts from external boxes point to the "Project Name" field, the "Priority" dropdown, and the "CREATE NEW PROJECT" button.

5.2 Navigational Buttons

The following navigational buttons are present in this form:

HOME: by clicking this button you will be automatically re-directed to the home page i.e. 'Administration of Months'.

ADMIN: this only appears when logged in as an AP manager. By clicking this button you will be automatically re-directed to the 'Administration of projects and passwords' form.

LOGOUT: by clicking this button you will be automatically logged out and the Login screen will appear.

CREATE NEW PROJECT: by clicking this button you will automatically create a new project with the information provided.

FEEDBACK: by clicking this button you will be automatically re-directed to the feedback form.

6 Project Form

This is the form used to input the risk data for a given project. This form is split into 2 parts:

- The top section, titled 'Project Data', has to be completed for all projects, whether they are approved or in the pipeline (see section 5.3 for more details).
- The bottom section, titled 'Claim Data', has only to be completed for approved projects (see section 5.4 for more details).

Projects will be expected to complete this form each month, then submit it to their AP manager for review and approval (and amendment if necessary, in consultation with the project) before the AP submits it to EPS.

5.1 General layout

Project: Business Support Mar, 2003 [Save form]

PROJECT DATA (to be completed for all projects)

Priority: 3 Estimated total claim (£): 0
 Action Plan: Reading Enterprise Partnership Funding type: --
 Chance of fatal risk stopping project (%): --

Milestone 0 (date)	Milestone 1 (date)	Milestone 2 (date)	Milestone 3 (date)	Milestone 4 (date)
15/07/02	15/07/02	15/07/02	15/07/02	15/07/02

CLAIM ELEMENT: Business Support

General data
 First claim: Jun, 2003 Last claim: Mar, 2004

Financial data

End of Jun, 2003		End of 2003		End of project	
Worst case (£):	£ 1,000,000	Worst case (£):	£ 3,456,765	Worst case (£):	£ 0
Expected claim (£):	£ 900,000	Expected claim (£):	£ 987,654	Expected claim (£):	£ 34,343,443
Best case (£):	£ 8,838,388	Best case (£):	£ 365,645,564	Best case (£):	£ 3,435,666
Contracted claim (£):	£ 0	Contracted claim (£):	£ 34,343,343	Contracted claim (£):	£ 987,654

5.2 Navigational buttons

HOME: by clicking this button you will be automatically re-directed to the months form i.e. 'Administration of Months'.

PROJECTS: by clicking this button you will be automatically routed to the 'Project Form' for that month.

ADMIN: this only appears when logged in as an AP manager. By clicking this button you will be automatically re-directed to the 'Administration of projects and passwords' form.

LOGOUT: by clicking this button you will be automatically logged out and the Login screen will appear.

SAVE FORM: this will take you to a new screen where you will be asked to:

- a. Save the project to save the data inputted
- b. Go back to project list without saving.

FEEDBACK: by clicking this button you will be automatically re-directed to the 'Feedback Form' where you can offer feedback on the Risk Form.

5.3 Project Data

This data enables EPS and APs to have a view of projects that are not yet approved, and hence take these into account when taking management decisions.

Listed below are descriptions of what must be input to each field (each box) in the 'Project Data' section of this form. These descriptions appear as 'pop-up help messages when the mouse arrow is placed upon the blank field.

- **Estimated total claim** – contracted total claim for approved projects, estimated total claim for pipeline projects
- **Chance of fatal risk occurring** – percentage chance of a risk stopping the project; higher percentage means higher chance
- **Milestone 0** – Project synopsis (project scoped, described & quantified in terms of costs & outputs) submitted to AP
- **Milestone 1** – ERDF form submitted to AP
- **Milestone 2** – AP issue signed project offer letter to project with contracted claim profile
- **Milestone 3** – First financial claim
- **Milestone 4** – Last claim.

The estimated total claim field indicates the agreed or likely total claim for the project. The 'fatal risk' field indicates the chance of the project being stopped. The milestone dates indicate (by comparison with the date at the time of data input) where the project is in the project lifecycle. Together the data input to these fields provides an overview of a project's size, risk profile and adherence to timetable.

An AP with few approved projects but many projects between milestones 1 and 2 is in a better situation than an AP with few approved projects and few projects

between milestones 1 and 2 – so more drastic remedial action is likely to be needed in the second case.

5.4 Claim Data

This data has only to be input for approved projects ie projects past milestone 2.

For priority 1 and 2 projects, the data input will be for the project as a whole. For Priority 3 projects, which are generally larger and more complex, the data input will be for each claim element. The claim elements will be those specified on the Interactive Claim Form; typical examples are Contractor's Fees, Salaries, Site Investigation etc.

Listed below are descriptions of what must be input to each field (each box) in the 'Project Data' section of this form. These descriptions appear as 'pop-up' help messages when the mouse arrow is placed upon the blank field.

General information:

- **First claim** – month in which first claim is forecast to be made from AP to GONW
- **Last claim** – month in which last claim is forecast to be made from AP to GONW

Cost Risk:

• Quarter:

- **Worst case** - claims to date plus minimum likely claim for this quarter (only 10% chance of undershooting this)
- **Expected claim** - claims to date plus realistic forecast claim for this quarter (50% chance of undershooting this and 50% of overshooting it)
- **Best claim** - claims to date plus maximum likely claim for this quarter (only 10% chance of overshooting this)
- **Contracted claim** - offer letter profile cumulative claim to end of this quarter

• Year end:

- **Worst case** - claims to date plus minimum likely claim for the remainder of this calendar year (only 10% chance of undershooting this)
- **Expected claim** - claims to date plus realistic forecast claim for the remainder of this calendar year (50% chance of undershooting this and 50% of overshooting it)
- **Best claim** - claims to date plus maximum likely claim for the remainder of this calendar year (only 10% chance of overshooting this)

- **Contracted claim** - offer letter profile cumulative claim to end of this calendar year
- **Project end:**
 - **Worst case** - claims to date plus minimum likely claim for the remainder of the project (only 10% chance of undershooting this)
 - **Expected claim** - claims to date plus realistic forecast claim the remainder of the project (50% chance of undershooting this and 50% of overshooting it)
 - **Best claim** - claims to date plus maximum likely claim the remainder of the project (only 10% chance of overshooting this)
 - **Contracted claim** - offer letter profile cumulative claim for whole project life

Delay risks:

- **Delay risk** - percentage chance of first claim being delayed from that stated under 'First Claim' above by 1 quarter or more
- **Maximum Likely delay** - maximum likely delay in quarters to first claim (only 10% chance of a greater delay than this)

Duration Risks:

- **Duration risk** - percentage chance of duration from first claim to last claim being increased by 1 quarter or more
- **Maximum Likely increase in duration** - maximum likely increase in duration in quarters from first claim to last claim (only 10% chance of a greater increase in duration than this).

Cost risk is intended to capture variability in claim amounts, but, in so doing, is likely to also capture changes in profile of claims between the original forecast first claim and last claim dates eg it maybe that the total timescale is being retained but claims are slightly more back-ended loaded than first planned (though this should be a warning sign: it is often the precursor to the project overrunning its programme ie the duration being extended).

Delay risk captures shifts of the whole claim profile ie a delay means a shift of the whole claim profile 'to the right'.

Duration risk captures extensions or reductions in the duration of the spend profile ie if its stretched or squashed relative to the original forecasts.

Generally speaking, the higher the risk the greater the variability eg:

- Higher cost risk means the difference between the 'worst case' and best case' claim forecasts should be greater. It is expected that, based on performance to date, the 'best case' forecast will rarely exceed the 'contracted profile'.
- higher delay risk means the user should input a greater percentage chance of delay to first claim, and possibly a greater maximum likely delay to first claim
- higher duration risk means a greater percentage chance of the duration between first claim and last claim being increased and a greater maximum likely increase in this duration.

These risks should be identified and assessed and then regularly reviewed, using a risk assessment and management approach such as that presented at the APs risk training sessions held at GONW offices on 24 and 25 February 2003.

7 Administration of Project Passwords

This form allows AP managers to add users for each project and provide them with passwords. For each project that the AP manager has he will only be able to set one extra user ie one user other than the AP manager.

Only the blank fields are to be completed.

7.1 General layout

Project name	Username	Password	Email address
Business Support	0007	pm	heather.heaton@scottwilson.
Business training for school-leavers	0012		
Highways for Reading Business Park	0011		
Reading College Extension	0010		
Reading College Learning Support	0009		
Training for women in business	0008		

Save all passwords and emails

7.2 Navigational buttons

HOME: by clicking this button you will be automatically re-directed to the home page i.e. 'Administration of Months'

ADMIN: this only appears when logged in as an AP manager. By clicking this button you will be automatically re-directed to the 'Administration of projects and passwords' form.

LOGOUT: by clicking this button you will be automatically logged out and the Login screen will appear.

SAVE ALL PASSWORDS AND E-MAILS: by clicking this button you will automatically save all the information on the form and send an e-mail to any new users you have created informing them of their user name and password.

FEEDBACK: by clicking this button you will be automatically re-directed to the 'Feedback Form' where you can offer feedback on the Risk Form.

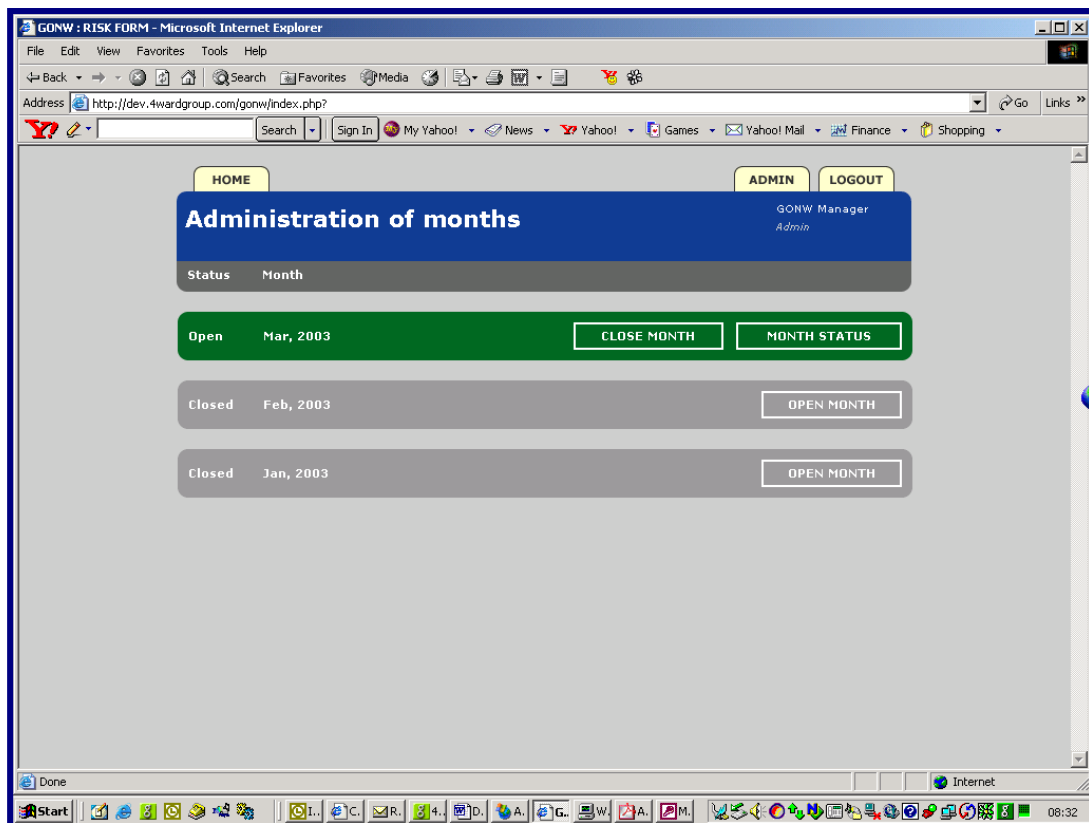
8 Admin User Mode

For those users with Administrator status (selected EPS staff), once they log in they will be able to perform the same activities as normal users. However they will also be able to access additional functions such as:

1. Create new users.
2. Send reminders to AP managers to complete the data for their months.
3. Close months ie stop any further data input for a given month.

8.1 Administration of Months

8.1.1 GENERAL LAYOUT



8.1.2 NAVIGATIONAL BUTTONS

HOME: by clicking this button you will be automatically re-directed to the page 'Administration of Months'.

ADMIN: by clicking this button you will be automatically re-directed to the home page i.e. 'Administration of Months'.

LOGOUT: by clicking this button you will be automatically logged out and the Login screen will appear.

CLOSE MONTH: clicking this button automatically closes the given month.

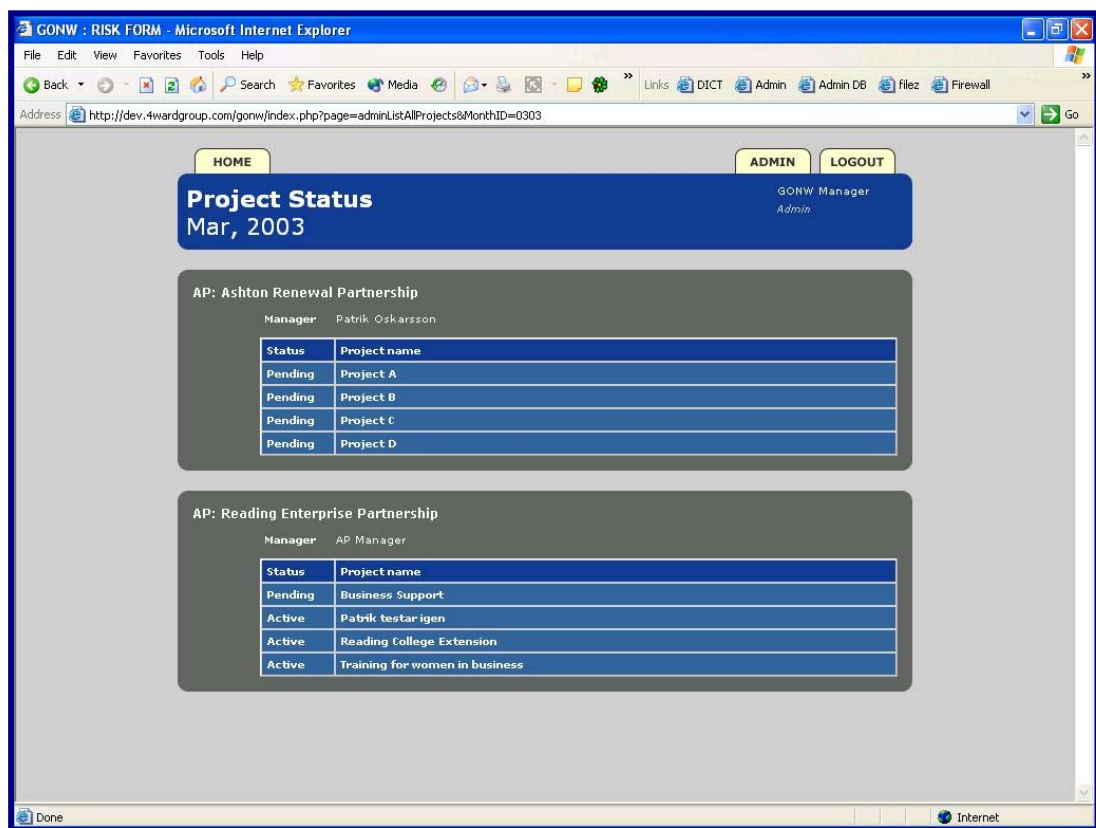
MONTH STATUS: by clicking this button you will be automatically directed to the list of projects for the selected month, grouped by AP and showing the relevant status.

8.2 Project Status

This form shows all the projects for a given month grouped by action plan. It also provides information as to which are still pending i.e. not all the data has been inputted and which are completed.

This form also enables users to send reminder e-mails to the AP managers so that they complete the projects for which they are responsible.

8.2.1 GENERAL LAYOUT



8.2.2 NAVIGATIONAL BUTTONS

HOME: by clicking this button you will be automatically re-directed to the home page i.e. 'Administration of Months'.

ADMIN: by clicking this button you will be automatically re-directed to the home page i.e. 'Administration of Months'.

LOGOUT: by clicking this button you will be automatically logged out and the Login screen will appear.

SEND REMINDER E-MAIL: by clicking this button you will send an e-mail to the AP manager responsible for those projects reminding him/her that there are still outstanding projects to his/her name.

9 Feedback Form

This form appears as an option at the bottom of every screen. The aim of this form is for users to provide feedback on how the application works and how it can be modified to make the users task easier and more effective. This feedback applies to the following:

1. Errors on the application
2. Additional functionality required
3. Improvements to existing functionality
4. General feedback comments

This form can be access from any of the forms in the Risk application.

9.1 General layout

The screenshot shows a web browser window titled "GONW: FEEDBACK FORM - Microsoft Internet Explorer". The main content area is a yellow box with the heading "Please enter your feedback:". Below the heading are the following fields:

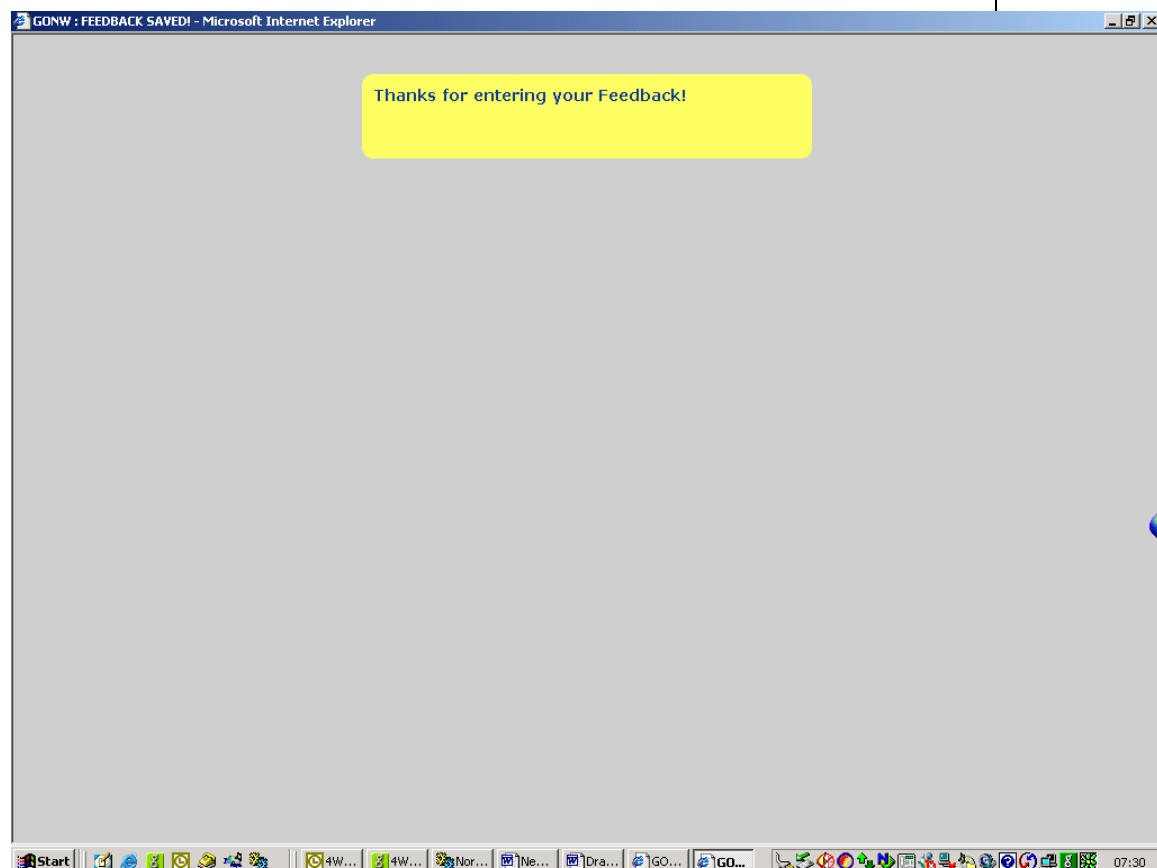
- Name:
- Surname:
- Email:
- Type:
- Severity:
- Description:

At the bottom of the yellow box is a blue button labeled "SEND FEEDBACK". The browser's taskbar at the bottom shows the Start button and several open applications, including "4W...", "Nor...", "Ne...", "Dra...", "GO...", and "GO...". The system clock in the bottom right corner shows "07:25".

9.2 Navigational Buttons

The only navigational button in this form is the 'SEND FEEDBACK'. By clicking this button your feedback will be sent to our database where it will be stored and reviewed periodically.

Once the form has been submitted you will be presented with the following screen:



Once the screen above appears you can close it in the usual windows manner, ie by clicking on the 'x' button on the top right hand corner of the screen, to return to the Risk application.

9.3 Entering data in the fields

The following data needs to be entered in the form:

1. NAME

2. SURNAME

3. Email

4. TYPE: this is the type/area of feedback and the options are:

- a. 'Navigational problem' refers to feedback on how you can go from one form to another or from one input field to another in the application
- b. 'Data entry problem' refers to feedback related to the action of entering data
- c. 'Suggestion of improvement' refers to feedback on how can we make the application better and make your task easier and more effective
- d. 'Other' refers to any other type of feedback not covered under the previous fields

5. SEVERITY: how critical is this feedback to your task.

6. DESCRIPTION: a description of what the feedback is. Please note that the more detailed and specific the feedback is, the easier will be for us to incorporate your comments and improve the Risk Form.

Appendix 1

